

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2017**

*Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)*

1. Person Reporting (last name, first, middle initial) Connelly, Rebecca B.	2. Court or Organization US Bankruptcy Court for the Western District of Virginia	3. Date of Report 05/09/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2017 to 12/31/2017
7. Chambers or Office Address 116 North Main Street Harrisonburg VA 22802		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	Washington and Lee University School of Law
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Washington and Lee University School of Law salary	\$10,000.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	Washington and Lee University Salary
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. VA CLE	9/2017	Charlottesville	speaking at CLE conference	hotel and lodging
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Bank of Botetourt savings account	A	Interest			Closed	03/31/17	J		
2. Cornerstone Bank bank accounts (various accounts)	A	Interest	K	T					
3. Cornerstone Bank stock	A	Interest	K	T					
4. SunTrust Bank (various accounts)	A	Interest	K	T					
5. Ameriprise Money Market Acct	E	Interest			Closed	08/01/17	J		
6. AIM Invesco Equity & Inc Fund ACETX	A	Dividend	K	T					
7. Ameriprise Columbia AMT Free Muni Bond Fund SETMX (X)	A	Dividend			Sold	08/10/17	K	D	
8. Ameriprise Brokerage #1 (X) - Columbia Strategic Mun Income INTAX	C	Dividend			Sold	12/11/17	L	B	
9. Ameriprise Brokerage #1 (X) - Columbia Large Cap Growth LEGAX	A	Dividend	K	T	Sold (part)	08/10/17	K	C	
10. Ameriprise Brokerage #2 (X) - Columbia Dividend Oppty INUTX	B	Dividend			Sold	08/10/17	K	B	
11. Ameriprise Brokerage #2 (X) - Columbia Diversified Equity Income INDZX	A	Dividend			Sold	12/31/17	K	C	
12. Ameriprise Brokerage #2 (X) - Columbia Disciplined Core AQEAX	A	Dividend			Sold	08/10/17	J	B	
13. Ameriprise Brokerage #2 (X) - Columbia Global Equity Value IEVAX	A	Dividend			Sold	06/09/17	K	A	
14. Ameriprise Columbia Pacific Mutual Fund USPAX	A	Dividend			Sold	08/10/17	J	B	
15. Ameriprise Columbia Acorn Thermostat CLA COTZX	A	Dividend			Sold	08/10/17	K	A	
16. Ameriprise Columbia Intermediate Municipal Bond CL A INTAX	A	Dividend			Sold	12/31/17	L	B	
17. Fidelity Advisor Emerging Markets CL A FIMKX	A	Dividend	K	T	Sold (part)	08/10/17	J	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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18. Ameriprise Gabelli Asset Mutual Fund	A	Dividend			Sold	12/11/17	J	A	
19. Ameriprise Goldman Sachs Rising Dividend Growth CL A	A	Dividend			Sold	08/10/17	K	A	
20. Ameriprise Legg Mason BW Global Opportunities Bond CL A	A	Dividend			Sold	08/10/17	K	A	
21. Ameriprise Metropolitan West Total Bond CL M	A	Dividend			Sold	08/10/17	K	A	
22. SDGIX Dreyfus/Standish Global Fixed Inc Fund I	A	Dividend	J	T	Buy	08/15/17	J		
23. FXN First Trust Energy Alpha DEX Fund	A	Dividend	K	T	Buy	08/15/17	K		
24. FXN First trust Energy Alpha DEX Fund	A	Dividend			Sold (part)	12/11/17	J	A	
25. FDT First Trust Developed Mkts ex-US Alpha DEX fund	A	Dividend	K	T	Buy	08/15/17	K		
26. FYT First Trust Small Cap Value Alpha DEX Fund	A	Dividend	K	T	Buy	08/15/17	K		
27. EMLP First Trust North Amer Energy Infrastructure Fund	A	Dividend	K	T	Buy	08/15/17	K		
28. EMPL First Trust North Amer Energy Infrastructure Fund	A	Dividend	K	T	Sold (part)	12/11/17	J	A	
29. SCZ iShares MSCI EAFE small cap ETF	A	Dividend	K	T	Buy	08/15/17	K		
30. HLGFX JPMorgan Limited Duration Bond Fund Class I	A	Dividend	K	T	Buy	08/15/17	K		
31. VNQ Vanguard REIT Index Fund	A	Dividend	K	T	Buy	08/15/17	K		
32. HIMFX American High Inc Mun Bond Fund Cls F-3		None	J	T	Buy	12/14/17	J		
33. MANLX BlackRock Nat Mun Fund Inst Shares	A	Dividend	J	T	Buy	12/14/17	J		
34. FDT First Trust Dev Markets ex-US Alpha DEX fund	A	Dividend	J	T	Buy	12/14/17	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. JKI iShares Morningstar Mid Value Idx ETF	A	Dividend	K	T	Buy	12/14/17	K		
36. RPSIX T Rowe Price Spectrum Income Fund	A	Int./Div.	J	T	Buy (add'l)	12/14/17	J		
37. VUG Vanguard Growth Fund ETF	A	Dividend	K	T	Buy	12/14/17	K		
38. TRP Mid Cap Growth fund	D	Dividend	L	T					
39. TRP Spectrum Income fund	A	Dividend	K	T					
40. Vanguard Wellesley Inc Fund mutual fund	A	Dividend	K	T					
41. JPMorgan Income Builder UGTMA	A	Dividend	J	T					
42. Prudential Jennison Equity Income UGTMA	A	Dividend	J	T					
43. Janney Montgomery Sweep Acct	A	Interest	J	T					
44. Alger Spectra ASPZX	C	Int./Div.	L	T					
45. Eaton Vance Floating CL 1 CUSIP EIBLX	A	Int./Div.	L	T	Buy	03/17/17	L		
46. Fidelity Advisor Real Estate CL Z CUSIP FRIRX	A	Dividend	J	T					
47. Lord Abbett Floating Rate CL F CUSIP LFRFX	A	Dividend	L	T	Buy	03/17/17	L		
48. MFS International Value CL 1 CUSIP MINIX	A	Dividend	K	T					
49. Mainstay High Yield Corp Bond CL B CUSIP MKHCX	A	Dividend	J	T					
50. Oppenheimer Global Opportunities Cl C OGIYX	A	Dividend	L	T					
51. Principal Preferred Securities CL P CUSIP PPSIX	B	Dividend	K	T					

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52. Prudential Global Real Estate CLZ CUSIP PURZX	A	Dividend	J	T					
53. Sterling Capital Equity Income CL C CUSIP BEGIX	B	Dividend	J	T					
54. Touchstone Mid Cap CL Y CUSIP TMCPIX	A	Dividend	J	T					
55. Yackman Service CL X CUSIP YACKX	A	Dividend	K	T					
56. Van Kampen Invest Grade Mun Trust CUSIP 92116Y160	A	Interest	J	T	Buy	01/13/17	J		
57. Royal Bank Canada - 328 (X) -formerly of Montreal Russell Index Note	A	Interest	J	T					
58. BNP PARIBAS US Note CUSIP 05579TVY9	A	Interest	K	T	Buy	04/13/17	K		
59. Barclays Bank PLC Note	A	Interest			Sold	01/30/17	J	A	
60. Barclays Bank PLC Note CUSIP 06744C5E7	A	Interest	K	T	Buy	10/31/17	K		
61. Royal Bank of Canada Note - KM8	A	Interest	J	T					
62. Canadian Imperial Bank Note CUSIP 13605WCJ8	A	Interest	K	T	Buy	02/28/17	K		
63. Canadian Imperial Bank Note CUSIP 13605WCN9	A	Int./Div.			Buy	03/28/17	L		
64. Canadian Imperial Bank Note CUSIP 13605WCN9	A	Int./Div.			Sold	09/29/17	J		
65. Canadian Imperial Bank of Commerce Note CUSIP 13605WCU3	A	Interest			Buy	04/27/17	K		
66. Canadian Imperial Bank of Commerce Note CUSIP 13605WCU3	A	Interest			Sold	10/30/17	J	A	
67. JP Morgan Chase Note CUSIP 48129HCA3	A	Interest	K	T	Buy	10/31/17	K		
68. Canadian Imperial Bank of Commerce Note CUSIP 13605WGV7	A	Interest	L	T	Buy	11/27/17	L		

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69. JP Morgan Chase Note	A	Interest			Sold	04/04/17	J	A	
70. AT&T Inc CUSIP T (X)		None			Sold	03/14/17	K	B	
71. Columbia Banking Systems CUSIP COLB (X)		None			Sold	03/14/17	J		
72. Mc Cormick & Co CUSIP MKC (X)		None			Sold	03/14/17	J	A	
73. McDonalds Corp CUSIP MCD (X)	A	Dividend			Sold	03/14/17	K	A	
74. Pepsico Inc CUSIP PEP (X)	A	Dividend			Sold	03/14/17	J	A	
75. Pfizer Inc CUSIP PFE (X)		None			Sold	03/14/17	J	A	
76. Verizon Communications CUSIP VZ (X)		None			Sold	03/14/17	K		
77. Vodafone Group PLC New CUSIP VOD (X)		None			Sold	03/14/17	J		
78. Franklin CUSIP FRHIX (X)	A	Dividend			Sold	03/14/17	K		
79. Goldman Sachs CUSIP GSMIX (X)	A	Dividend			Sold	03/14/17	K		
80. John Hancock CUSIP TAMBX (X)	A	Dividend			Sold	03/14/17	J		
81. JPMorgan CUSIP JNBAX (X)		None			Sold	03/14/17	K	A	
82. Lord Abbett CUSIP LANSX (X)	A	Dividend			Sold	03/14/17	K		
83. Oppenheimer CUSIP 683808109 (X)		None			Sold	03/14/17	K	A	
84. Putnam CUSIP 746761105 (X)	A	Dividend			Sold	03/14/17	L	B	
85. American CUSIP AFTEX (X)	A	Dividend			Sold	03/14/17	J		

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86. Government I Bonds	A	Dividend	J	T					
87. Government I Bond	A	Dividend	J	T					
88. Gov Series EE Bonds	A	Dividend	J	T					
89. Govenment Series EE Bonds	A	Dividend	J	T					
90. Government Series EE Bonds	A	Dividend	J	T					
91. Government Series EE Bonds	A	Dividend	J	T					
92. TIAA Cref Retirement Account	A	Dividend	P1	T					
93. Virginia 529 Chesapeake Plan (age based) (no control)	A	Dividend			Distributed	07/25/17	J	B	

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII.

Line 6 previously reported as Ameriprise AIM Invesco Equity & Inc Fund. The account has been moved from Ameriprise to MML Investor Services LLC but the holding is the same.

Line 7 previously combined with Ameriprise Columbia Funds Strategic Municipal Income Fund (reported on line 8).

Line 49 Mainstay High Yield Corp Bond Fund C1 B (MKHCX) was incorrectly reported last year with (Y) notation and explanation that it had been sold in 2014.

The account was partially sold in 2014. It should have been reported with year end value code of J and method code of T on 2016 report.

Lines 72 - 87 are for assets inherited on 1-13-17

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Rebecca B. Connelly

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544